

Applicants:	Daniel R. Johnson and Alok Mehta	
Application No.:	09/891,911	Group: 2167
Filed:	June 26, 2001	Examiner:
For:	METHOD AND SYSTEM FOR EVALUATION OF POTENTIAL FUNDING SOURCES FOR FINANCIAL PLANS	

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231

on 8/28/01 Pamela Sarno  
Date Signature

PAMELA SARNO  
Typed or printed name of person signing certificate

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

In reply to the Notice to File Missing Parts dated August 17, 2001, the following documents and fees are being submitted for filing in the captioned application. A copy of the Notice is attached.

- ☒ **EXECUTED DECLARATION/POWER OF ATTORNEY**  
(Separate transmittal letter and postcard not required)
- ☒ **FILING FEE** - with Fee Transmittal for Patent Applications in duplicate.  
(Separate transmittal letter and postcard not required)
- ☒ **SURCHARGE** - surcharge fee of \$130.  
(Separate transmittal letter and postcard not required)
- ☐ **SEQUENCE LISTING** - Filed concurrently and is attached.  
(Separate transmittal letter and postcard required)

**[ X ] TRANSMITTAL OF SUBSTITUTE DRAWINGS**

[ X ] Sheets of substitute drawings consisting of Figs. 1A-C, 2, 3A-B, 4A-F, 5A-M are enclosed.

*(Separate transmittal letter and postcard not required)*

**[ ] PETITION FOR EXTENSION OF TIME**

[ ] Applicant hereby petitions to extend the time to respond to the Notice to File Missing Parts dated [ ] for [ ] month(s) from [ ] to [ ].  
The appropriate fee of \$[ ] is included in the enclosed check.

[ ] A [ ] month extension of time to respond to the Notice to File Missing Parts dated [ ] was filed on [ ] with payment of a \$[ ] fee.

[ ] Applicant hereby petitions for an additional [ ] month extension of time to respond to the Notice to File Missing Parts. The appropriate fee of \$[ ] is included in the enclosed check.

*(Separate Petition for Extension of Time and postcard not required)*

**[ ] REQUEST FOR CORRECTED FILING RECEIPT - Filed concurrently and is attached.**

*(Separate transmittal letter and postcard required)*

**[ ] STATEMENT CLAIMING SMALL ENTITY STATUS**

[ ] Was filed on [ ] .

[ ] Is enclosed herewith.

*(Separate transmittal letter and postcard not required)*

[ ] In view of the small entity status of the captioned application, we hereby request a reimbursement of 50% of the filing fees in the amount of \$[ ] which were paid on [ ] to be deposited in Deposit Account No. 08-0380.

The fees required for filing the indicated documents are enclosed in the form of a check in the total amount of \$1488. Please charge any deficiency or credit any overpayment in the fees that may be due in this matter to Deposit Account No. 08-0380. A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By 

David J. Thibodeau, Jr.  
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Lexington, Massachusetts 02421-4799

Date: 8/27/01

09/891,911-0001



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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/891,911	06/26/2001	Daniel Johnson	3034.1000-001

## FORMALITIES LETTER



\*OC000000006441277\*

David J. Thibodeau, Esq.  
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Two Militia Drive  
Lexington, MA 02421-4799

Date Mailed: 08/17/2001

# NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

**FILED UNDER 37 CFR 1.53(b)**

**Filing Date Granted**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$648.
  - **\$648** for **36** total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1488.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

**The required item(s) identified below must be timely submitted to avoid abandonment:**

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

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02 FEB 1971	150.00	08
03 FEB 1971	626.00	12

